

Docket No.: 12423.038

FORM PTO-1595 (Modified)
(Rev. 03-01)
OMB No. 0651-0027 (exp. 5/31/2002)
P03A/REV03

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

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To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

PEPC, Inc.

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: June 30, 2003

2. Name and address of receiving party(ies):

Name: Wachovia Bank, N.A.

Address: One Wachovia Center

301 S. College Street

City: Charlotte

State/Prov.: NC

Country: US

ZIP: 28288

Additional name(s) & address(es)

☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No.

Filing date

B. Patent No.(s)

5,517,406

5,918,218

Additional numbers

☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Michael A. Tobin

Registration No. 43,956

Address: Kennedy Covington Lobdell & Hickman, LLP

Hearst Tower, 47th Floor

214 N. Tryon Street

City: Charlotte

State/Prov.: NC

Country: US

ZIP: 28202

6. Total number of applications and patents involved:

2

7. Total fee (37 CFR 3.41):.....\$ 80.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

8. Deposit account number:

18-1215

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael A. Tobin

Name of Person Signing

Signature

July 29, 2003

Date

4

Total number of pages including cover sheet, attachments, and

Mail documents to be recorded with required cover sheet information to:
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P.O. Box 1460 Alexandria VA 22313-1460

PATENT

REEL: 013835 FRAME: 0235

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ASSIGNMENT OF PATENTS

This ASSIGNMENT OF PATENTS (this "Assignment") is made as of June 30, 2003 (the "Effective Date"), by PFPC, Inc., a corporation organized under the laws of the Commonwealth of Massachusetts (the "Assignor") to Wachovia Bank, N.A., a bank organized under the laws of the United States of America (the "Assignee").

The Assignor and the Assignee are parties to an Asset Purchase Agreement, dated April 17, 2003 (the "Asset Purchase Agreement"), pursuant to which the Assignor has agreed to sell to the Assignee and the Assignee has agreed to buy from the Assignor the Acquired Assets (as defined in the Asset Purchase Agreement), including certain of the patents of the Assignor. In accordance with the Asset Purchase Agreement, the Assignor desires to transfer and assign to the Assignee, and the Assignee desires to accept the transfer and assignment of, all of the Assignor's worldwide rights, title and interests in, to and under the Assignor's patents listed on Schedule A annexed hereto and incorporated herein by reference and the inventions disclosed therein, together with reissuances, continuations, continuations-in-part, revisions, extensions and reexaminations thereof (collectively, all the foregoing, the "Patents").

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the Assignor does hereby transfer and assign to the Assignee all of the Assignor's worldwide rights, title and interests in, to and under the Patents, all rights to sue and retain damages for infringement of any Patent, whether arising prior to or subsequent to the date of this Assignment, and any and all improvements thereto, reissuances, continuations, continuations-in-part, divisions, reexaminations, renewals and extensions thereof that may hereafter be secured under the laws now or hereafter in effect in the United States, Canada and in any other jurisdiction, the same to be held and enjoyed by the Assignee, its successors and assigns from and after the date hereof as fully and entirely as the same would have been held and enjoyed by the Assignor had this Assignment not been made.

The Assignor has caused its duly authorized officer to execute this Assignment as of the Effective Date.

PFPC, INC.

By: [Signature]
Name: Nancy B. Wolcott
Title: Executive Vice President

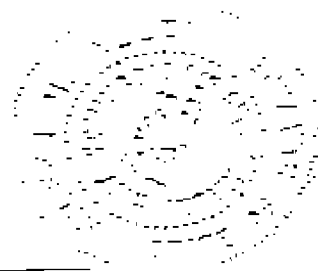
State of Delaware
) ss.:
County of New Castle

On this 30th day of June, 2003, before me, Eileen M. Allen, personally appeared Nancy B. Wolcott of PFPC, INC., personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

EILEEN M. ALLEN
NOTARY PUBLIC
STATE OF DELAWARE
My Commission Expires Jan. 10, 2006

[Signature]
Notary Public



SCHEDULE A

Issued Patents

<u>U.S. Patent No.</u>	<u>Issue Date</u>	<u>Patent Title</u>
5,517,406	May 14, 1996	Method and Apparatus for Data Verification and Position Reporting in an Automated Trade Transactions Processing System
5,918,218	June 29, 1999	Method and Apparatus for Automated Trade Transactions Processing

2143615.01
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